

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/931,149

Title: METHOD AND SYSTEM FOR MANAGING A MORTGAGE-BACKED SECURITIES INDEX

Applicant: David RIOS, et al.

Filed: August 16, 2001

Examiner: Not yet known

Group Art Unit: 2164

Docket No.: 016422/142

Commissioner for Patents
Washington, D.C. 20231

#4
PMB
12-26-01

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INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. § 1.97

Sir:

Enclosed herewith is a list of references ("Form PTO/SB/08A and 08B"), and a copy of each of the documents listed therein. The Examiner is respectfully requested to consider the enclosed list and indicate his consideration thereof by initialing the enclosed PTO Form and returning a copy of the initialed form to Applicant's undersigned attorney.

It is believed that this disclosure, pursuant to 37 C.F.R. §§ 1.97 and 1.98, complies with the requirements of 37 C.F.R. § 1.56 and the Manual of Patent Examining Procedures, Section 707.05(b). If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

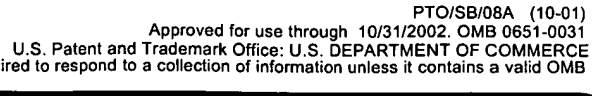
There is no fee deemed necessary with this submission, however should an additional fee become, the Commissioner is hereby authorized to charge the same to Deposit Order Account 500675.

Respectfully submitted,

SCHULTE ROTH & ZABEL LLP
Attorneys for Applicants
919 Third Avenue
New York, New York 10022
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Dated: November 16, 2001
New York, New York

By: Donna L. Angotti
Donna L. Angotti
Reg. No. 32,679



Substitute for form 1449A/PTO

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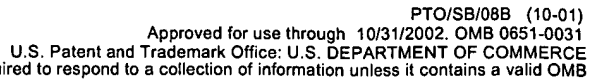
C mplete if Known

Application Number	09/931,149
Filing Date	August 16, 2001
First Named Inventor	David Rios, et al.
Art Unit	2164
Examiner Name	not yet known
Attorney Docket Number	016422/142

[illegible][illegible]Date
Considered

1 Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office citation issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



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Sheet

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Application Number	09/931,149
Filing Date	August 16, 2001
First Named Inventor	David Rios, et al.
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Examiner Name	not yet known
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